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PTO/SB/21 (08-00)

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2819 #4  
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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

6 \*\*

Application Number

10/028,998

Filing Date

December 20, 2001

First Named Inventor

Adityo Prakash

Group Art Unit

2819

Examiner Name

not yet known

Attorney Docket Number

10006.000410

### ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) \_\_\_\_\_

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☒ Transmittal Form

☒ Information Disclosure Statement

☒ Other Enclosure(s) (please identify below):

Form PTO/SB/08;

Copies of Listed References:

(1 US Patent - A);

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Remarks

\*\* does not include pages for listed references

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### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

James K. Okamoto, Reg No. 40,110  
DEGUZMAN OKAMOTO & BENEDICTO, LLP

Signature

Date

March 19, 2002

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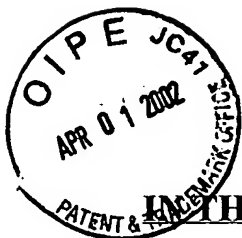
James K. Okamoto

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Date

March 19, 2002

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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TECHNOLOGY CENTER 280

In re Application of:

Adityo Prakash, et al.

Serial No. 10/028,998

Examiner: not yet known

Filed: December 20, 2001

Art Unit: 2819

Title: EFFICIENTLY ADAPTIVE  
DOUBLE PYRAMIDAL CODING

Atty. Dkt. No.: 10006.000410

Commissioner of Patents  
Washington, DC 20231

INFORMATION DISCLOSURE STATEMENT

Under 37 C.F.R. §1.56 and §§1.97-98

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Sir:

Pursuant to the provisions of 37 CFR 1.56 and §§1.97-98, enclosed herewith is form PTO/SB/08 (substitute for form 1449A/PTO) listing references which may be material to the examination of this application, and with respect to which there may be a duty to disclose. The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

A copy of each listed reference is enclosed herewith, unless no such copy is required pursuant to 37 CFR § 1.98(d).

- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. [SERIAL NUMBER], filed on [FILING DATE], and the references cited therein are hereby listed but are not required to be provided in this application under 37 CFR § 1.98(d).

Pursuant to 37 CFR §1.97, this Information Disclosure Statement is being submitted under the section indicated below.

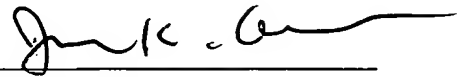
- ☒ 37 CFR §1.97(b).
- ☐ 37 CFR §1.97(c). If so, then either:
- ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that either:
- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56 (c) more than three months prior to the filing of this Statement.
- OR
- ☐ Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).
- ☐ 37 CFR § 1.97(d). If so, then both:
- ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that either:
- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement.
- AND
- ☐ Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).

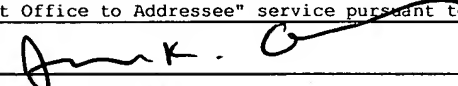
Consideration of the listed references and favorable action are respectfully solicited.

Respectfully submitted,

Adityo Prakash, et al.

Dated: March 19, 2002

By:   
James K. Okamoto  
Attorney For Applicant(s)  
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

**Complete if Known**

Application Number	10/028,998
Filing Date	December 20, 2001
First Named Inventor	Adityo Prakash
Group Art Unit	2819
Examiner Name	not yet known
Attorney Docket Number	10006.000410

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Date Considered

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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